



IFW

PTO/SB/21 (04-04)

Approved for use through 07/31/2006. OMB 0651-0031  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

|                        |                  |
|------------------------|------------------|
| Application Number     | 10/694,334       |
| Filing Date            | October 27, 2003 |
| First Named Inventor   | Steven Kim       |
| Art Unit               | 3762             |
| Examiner Name          | Unassigned       |
| Attorney Docket Number | PA2009 DIV2      |

Total Number of Pages in This Submission

### ENCLOSURES (Check all that apply)

|  |   |   |
|--|---|---|
| <input type="checkbox"/> Fee Transmittal Form                                | <input type="checkbox"/> Drawing(s)                                       | <input type="checkbox"/> After Allowance Communication to Technology Center (TC)        |
| <input type="checkbox"/> Fee Attached  | <input type="checkbox"/> Licensing-related Papers                         | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences     |
| <input type="checkbox"/> Amendment/Reply                                     | <input type="checkbox"/> Petition   | <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final   | <input type="checkbox"/> Petition to Convert to a Provisional Application | <input type="checkbox"/> Proprietary Information  |
| <input type="checkbox"/> Affidavits/declaration(s)                           | <input type="checkbox"/> Power of Attorney, Revocation                    | <input type="checkbox"/> Status Letter  |
| <input type="checkbox"/> Extension of Time Request                           | <input type="checkbox"/> Change of Correspondence Address                 | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):         |
| <input type="checkbox"/> Express Abandonment Request                         | <input type="checkbox"/> Terminal Disclaimer                              | Request for Corrected Filing Receipt;   |
| <input type="checkbox"/> Information Disclosure Statement                    | <input type="checkbox"/> Request for Refund                               | Supplemental Application Data Sheet; Redlined   |
| <input type="checkbox"/> Certified Copy of Priority Document(s)              | <input type="checkbox"/> CD, Number of CD(s) _____                        | Copy of Filing Receipt; and Return Postcard   |
| <input type="checkbox"/> Response to Missing Parts/Incomplete Application    | Remarks   |   |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 |   |   |

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

|                         |   |
|-------------------------|---|
| Firm or Individual name | Michael J. Jaro; Medtronic Vascular, Inc. |
| Signature               |   |
| Date                    | June 30, 2004                             |

### CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

|                       |                 |      |            |
|-----------------------|-----------------|------|------------|
| Typed or printed name | Kimberly Melvin |      |            |
| Signature             |                 | Date | 06/30/2004 |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



CERTIFICATE OF MAILING (37 C.F.R. § 1.8a)

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service with sufficient postage as first class mail in the envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on June 30, 2004.

By: \_\_\_\_\_

Kimberly Melvin

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appln. No. : 10/694,334 Confirmation No.: 3840  
Applicant : KIM, Steven et al.  
Filed : October 27, 2003  
TC/A.U. : 3762  
Examiner : Unassigned  
Docket No. : PA2009 DIV2  
Customer No. : 28390  
Title : DEVICES FOR FORMING AND/OR MAINTAINING  
CONNECTIONS BETWEEN ADJACENT ANATOMICAL  
CONDUITS

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**REQUEST FOR CORRECTED FILING RECEIPT**

Sir:

Applicant's submit a Supplemental Application Data Sheet and a Redlined copy of the Filing Receipt indicating a correction to the Attorney Docket No., which should read as follows:

PA2009 DIV2

Additionally, a correction to the Priority data should read as follows:

This Application is a DIV of 09/911,975 07/24/2001 ABAN.;  
which is a DIV of 09/845,372 04/30/2001;  
which is a CON of 08/970,694 11/14/1997 PAT 6,432,127;  
which is a CIP of PCT/US97/01468 01/31/1997

Reconsideration of this Application and entry of this Request for a Corrected Filing Receipt is respectfully requested. The undersigned can be reached at (707) 566-1746.

Respectfully submitted,

Michael J. Jaro  
Registration No. 34,472  
Attorney for Applicant  
Medtronic Vascular, Inc.  
3576 Unocal Place  
Santa Rosa, CA 95403  
Telephone No.: (707)  
Facsimile No.: (707) 543-5420

**COPY****COPY**

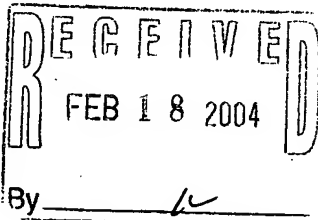
## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

| APPL NO. | FILING OR 371<br>(c) DATE | ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO | DRAWINGS | TOT CLMS | IND CLMS |
|----------|---------------------------|----------|---------------|-----------------|----------|----------|----------|
|----------|---------------------------|----------|---------------|-----------------|----------|----------|----------|

|            |            |      |     |   |    |    |   |
|------------|------------|------|-----|---|----|----|---|
| 10/694,334 | 10/27/2003 | 3762 | 770 | <del>TRNSV-022CC</del><br><b>PA2009DIV2</b> | 23 | 18 | 1 |
|------------|------------|------|-----|---|----|----|---|

STOUT, UXA, BUYAN & MULLINS, LLP  
Suite #300  
4 Venture  
Irvine, CA 92618



CONFIRMATION NO. 3840

## FILING RECEIPT



\*OC000000011774995\*

Date Mailed: 01/28/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Steven Kim, San Jose, CA;  
J. Christopher Flaherty, Los Altos, CA;  
Jason Brian Whitt, San Francisco, CA;  
Theodore C. Lamson, Pleasanton, CA;  
Joshua Makower, Los Altos, CA;

## Assignment For Published Patent Application

TransVascular, Inc.;

Domestic Priority data as claimed by applicant

**THIS APPLICATION IS A DIV OF 09/911,975 07/24/2001 ABAN;**  
**WHICH IS A DIV OF 09/845,372 04/30/2001**  
which is a CON of 08/970,694 11/14/1997 PAT 6,432,127  
which is a CIP of PCT/US97/01468 01/31/1997

MDC 1659

RED BOOK \_\_\_\_\_

2nd Review \_\_\_\_\_

PrintedFiling Receipt01 Mar 2004

## Foreign Applications

If Required, Foreign Filing License Granted: 01/28/2004

Projected Publication Date: 05/06/2004

Non-Publication Request: No

Early Publication Request: No

**Title**

Devices for forming and/or maintaining connections between adjacent anatomical conduits

**Preliminary Class**

604

---

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).